Substitute	te for form 1449A/PT(0		Complete if Known		
			201 001105	Application Number	10/698.828	
INFO	RMATION	DI.	SCLOSURE	Filing Date	10/31/04	
STA	TEMENT B	YA	APPLICANT	First Named Inventor	GUY M. LOHMAN ET AL.	
•				Art Unit	2171	
1	(use as many shee	ets a.	s necessary)	Examiner Name	NOT ASSIGNED	
Sheet	Sheet 1 of 3		3	Attorney Docket Number	ARC920030024US1	

		U.S. PAT	ENT DOCUMENTS	
Examiner Initials	Cite No. 1 Number - Kind Code ² (// known	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
114	US- 4451901	05-29-1984	WOLFE ET AL.	
DA	US- 5278980	01-11-1994	PEDERSEN ET AL.	
PA	US- 5734888	05-31-1998	LI ET AL.	
DA	US- 5848404	12-08-1998	HAFNER ET AL.	
PA	US- 6026391	02-15-2000	OSBORN ET AL.	
PA	US- 6,243,710	06-05-2001	DEMICHIEL ET AL.	
10	US- 6,353,825	03-05-2002	PONTE	
BA	US- 6,366,904	04-02-2002	BENHADDA ET AL.	
TA	US- 6,477,573	11-05-2002	LEA	
NA	US- 6,480,843	11-12-2002	u	
PA	US- 6,502,094	12-31-2002	GVILY ET AL.	
88	US- 6,763,359	07-13-2004	LOHMAN, GUY MARING	
	US-			
	US-	•		
	US-			
	US-			
	US-			
	UŞ-			
	US-			
i	US-			

FOREIGN PATENT DOCUMENTS										
Examiner Initials	Cite No. 1	Foreign Patent Document Country Code3 -Number4 - Kind Code1 (#known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear					
						_				

Examiner Date 4/14/2006 Signature Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in

[&]quot;EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 8 Applicant is to place a check mark here if English tanguage Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PTO/SB/08B (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

bstitute f	or form 1449B/PTO			Complete if Known		
		No	OL COURT	Application Number	10/698.828 10/31/04	
	KMAHONL	JIS	CLOSURE			
ΤΔΤΙ	EMENT RY	' Δ	PPLICANT	First Named Inventor	GUY M. LOHMAN ET AL.	
1711			LIOAN	Group Art Unit	2171	
	(use as many shee	ets a	s necessary)	Examiner Name	NOT ASSIGNED	
Sheet	2	of	3	Attorney Docket Number	ARC920030024US1	

		Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the	1
Examiner Initials	Cite No. ¹	item (book, magazine, journal, serial, symposium, catalog, etc.), date, paga(s), volume-issue number(s), oublisher, cliv and/or country where oublished	1
Λ.		America M. Franklin A. Tamasia and T. Hebra Commission Owner Disease Commission Harmonday	
NA		L. Amsaleg, M. Franklin, A. Tomasic, and T. Urhan, Scrambling Query Plans to Cope with Unexpected Delays, Proceedings of the International Conference on Parallel and Distributed Information Systems —(PDIS); Miamir Beach, Florida, December 1996, p. 208-219.	_ _
P.A		R. Avnur and J. M. Hellerstein, Eddies: Continuously Adaptive Query Optimization, Proceedings of the 2000 ACM SIGMOD International Conference on Management of Data, Dallas, Taxas, 2000, p. 261-272. R. Ahad, K.V.Bapa, and D. McLeod, On Estimating the Cardinality of the Projection of a Database	
		Relation, ACM Transactions on Dalabase Systems (TODS) v. 14, n. 1, March 1989, p. 28-40. D. Donjerkovic and R. Ramakrishnan, Probabilistic Optimization of Top N Queries, Proceedings of the Twenty-lifth International Conference on Very Large Databases (VLDB'99), September 1999, Edinburgh, Scotland, p. 411-422.	
PA		Y.E. toannidis and S. Christodoulakis. On the Propagation of Errors in the Size of Join Results, Proceedings of the 1991 ACM SIGMOD International Conference on Management of Data, Denver, Colorado, May 29-31, 1991, p. 268-277.	
		— Z-Ives, Efficient-Query-Processing for Data-Integration, Ph.D-dissertation, University of Washington, 2002.	-j-
PA		N. Kabra and D. DeWitt, Efficient Mid-Query Re-Optimization of Sub-Optimal Query Execution Plans, Proceedings of the ACM SIGMOD International Conference on Management of Data, v. 27, ACM Press,	
PA PA PA		1998, p. 108-117. G. Lohman, Grammar-like Functional Rules for Represent Query Execution Plan Alternatives, Proceedings of the 1988 ACM SIGMOD International Conference on Management of Data, Chicago, Illinois, ACM Press, p. 18-27.	
PA		V. Poosala, Y. Ioannidis, P. Haas, and E. Shekita, Improved histograms for selectivity estimation of range predicates, Proceedings of the 1996 ACM SIGMOD International Conference on Management of Data, p. 294-305.	
		V. Poosala and Y. Ioannidis, Selectivity Estimation without the attribute value independence assumption, Proceedings of the 23rd International Conference on Very Large Databases (VLDB), August 1997,p. 486-495. /	╁
14 J		V. Raman, A. Deshpande, and J. M. Hellerstein, Using State Modules for Adaptive Query Optimization. ICDE 2003.	1
PA PS		P. G. Selinger, M. M. Astrahan, D. D. Chamberlin, R. A. Lorie, and T. G. Price: Access Path Selection in a Relational Database Management System, Proceedings of the 1979 ACM SIGMOD International Conference on Management of Data, May 30-June 11979, Boston, Massachusetts, p. 23-34.	
	-	TUrhan, M.J. Franklin, and L. Arnsaleg, Cost-based Query Scrambling for Initial Delays, Proceedings of the 1998 ACM SIGMOD International Conference on Management of Data, p. 130-141. M. Stillger, G. Lohman, V. Markl, and M. Kandil, LEO – DB2's Learning Optimizer, Proceedings of the	- -
PA PA		27th International Conference On Very Large Data Bases (VLDB), 2001, p. 19-28. M. Zaharioudakis, R. Cochrane, G. Lapis, H. Pirahesh, and M. Urata, Answering Complex SQL Queries Using Automatic Summary Tables, Proceedings of the 2000 ACM SIGMOD International Conference on Management of Data, p. 105-116.	
PA		D.E. Simmen. T.Y. Leung, Y. Sun, Optimizing Database Queries Using Query Execution Plans Derived from Automatic Summary Table Determining Cost Based Queries. U.S. Ser. No. 09/502820 filed 5/18/1999.	

Examiner Sand Armenfuld	Date Considered	4/14/2006
Charleton I - L. L. II		

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

PTC/SB/088 (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Tredemark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

00100111011	1001.					
Substitute	for form 1449B/PTO			Complete if Known		
		NC	OL COLLDE	Application Number	10/698.828	
INFOR	KMATION	JIS	CLOSURE	Filing Date	10/31/04	
STAT	EMENT BY	' Δ	PPLICANT	First Named Inventor	GUY M. LOHMAN ET AL.	
		•		Group Art Unit	2171	
	(use as many shee	ets a	s necessary)	Examiner Name	NOT ASSIGNED	
Sheet	2	of	3	Attorney Docket Number	ARC920030024US1	

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS							
Examiner Initials	Cite No. 1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue mumber(s), publisher, city and/or country where published	T2				
14		N. Bruno and S. Chaudhuri. Exploiting Statistics on Query Expressions-for-Optimization, Proceedings of the 2002-ACM SIGMOD International Conference on Management of Data, 2002, p. 263-274.					
124		D. D. Chamberlin, M. M. Astrahan, W. F. King et al. Support for Repetitive Transactions and Ad-Hoc Query in System R, ACM Transactions on Database Systems (TODS), vol. 6, n.1, 1981, p. 70-94.					
PA		R. Cole and G. Graefe. Optimization of Dynamic Query Evaluation Plans, Proceedings of the 1994 ACM SIGMOD International Conference on Management of Data, 1994, p. 150-160.					
PA		A. Van Gelder. Multiple Join Size Estimation by Virtual Domains, Proceedings of the twelfth ACM SIGACT-SIGMOD-SIGART Symposium on Principles of Database Systems (PODS), 1993, p. 180-189.					
PD		P. Haas and A. Swami. Sampling-Based Selectivity Estimation for Joins Using Augmented Frequent Value Statistics, Proceedings of the Eleventh International Conference on Data Engineering, March 1995, p. 522-531.					
PA.		M. Stonebraker et al. The Design and Implementation of INGRES, —ACM-Transactions-on-Database-Systems-(TODS), vol. 1, n. 3, September 1976, p. 189-222.					

Examiner		1 111	Date	ullul- c
Signature	Yaw (Hommesford	Considered	7/14/2000

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Office, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Petents, Washington, DC 20231.

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.